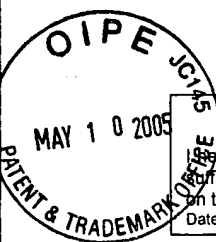


IPW



CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:
 Date: May 6, 2005 Name: K. Shannon Mrksich Signature: S. Mrksich

BRINKS
HOFER
GILSON
& LIONE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: **HISASHI YAMAMOTO ET AL.**

Appln. No.: **10/762,028**

Filed: **January 20, 2004**

For: **CATALYTIC ASYMMETRIC
EPOXIDATION**

Attorney Docket No: **7814/93**

Examiner: **Dentz, Bernard I.**

Art Unit: **1625**

Mail Stop Amendment
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached is/are:

- ☒ Transmittal (in dup.), Second Supplemental Information Disclosure Statement, PTO 1449, and 3 cited other art references.
☒ Return Receipt Postcard

Fee calculation:

- ☒ No additional fee is required.
☐ Small Entity.
☐ An extension fee in an amount of \$_____ for a _____-month extension of time under 37 C.F.R. § 1.136(a).
☐ A petition or processing fee in an amount of \$_____ under 37 C.F.R. § 1.17(____).
☐ An additional filing fee has been calculated as shown below:

| | | | | | Small Entity | | | Not a Small Entity | |
|---|----------------------------------|-------|---------------------------------|---------------|--------------|-----------|----|--------------------|-----------|
| | Claims Remaining After Amendment | | Highest No. Previously Paid For | Present Extra | Rate | Add'l Fee | or | Rate | Add'l Fee |
| Total | | Minus | | | x \$25= | | | x \$50= | |
| Indep. | | Minus | | | x 100= | | | x \$200= | |
| First Presentation of Multiple Dep. Claim | | | | | +\$180= | | | +\$360= | |
| | | | | | Total | \$ | | Total | \$ |

Fee payment:

- ☐ A check in the amount of \$_____ is enclosed.
☐ Please charge Deposit Account No. 23-1925 in the amount of \$_____. A copy of this Transmittal is enclosed for this purpose.
☐ Payment by credit card in the amount of \$_____ (Form PTO-2038 is attached).
☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

5/06/05
Date

S. Mrksich
K. Shannon Mrksich (Reg. No. 36,675)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: HISASHI YAMAMOTO ET AL.

Appln. No.: 10/762,028

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EPOXIDATION

Attorney Docket No: 7814/93

Examiner: Dentz, Bernard I.

Art Unit: 1625

SECOND SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

In accordance with the duty of disclosure under 37 C.F.R. §1.56 and §§1.97-1.98, and more particularly in accordance with 37 C.F.R. §1.97(b), Applicants hereby cite the following reference(s):

U.S. PATENT DOCUMENTS

5,602,267

2/11/1997 Zhao

OTHER ART – NON PATENT DOCUMENTS

Waldemar, A., et al., "Control of Enantioselectivity through a Hydrogen-bonded template in the vanadium(V)-catalyzed epoxidation of allylic alcohols by optically active hydroperoxides", Tetrahedron: Asymmetry, 14(10), pp. 1355-1361.

International Search Report dated April 8, 2005.

Written Opinion for PCT/US2005/000306 dated April 8, 2005

Applicants are enclosing Form PTO-1449 (one sheet), along with a copy of each listed reference for which a copy is required under 37 C.F.R. §1.98(a)(2). As each of the listed references is in English, no further commentary is believed to be necessary, 37 C.F.R. §1.98(a)(3). Applicants respectfully request the Examiner's consideration of the above reference(s) and entry thereof into the record of this application.

By submitting this Statement, Applicants are attempting to fully comply with the duty of candor and good faith mandated by 37 C.F.R. §1.56. As such, this Statement is

not intended to constitute an admission that any of the enclosed references, or other information referred to therein, constitutes "prior art" or is otherwise "material to patentability," as that phrase is defined in 37 C.F.R. §1.56(a).

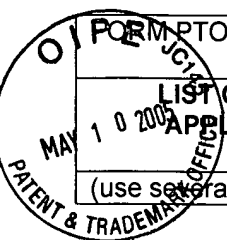
For purposes of 37 C.F.R. §1.704(d), Applicants certify that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart application, and that this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Statement (a copy of any foreign communication first citing a listed reference is attached for the Examiner's reference).

Applicants have calculated no fee to be due in connection with the filing of this Statement. However, the Director is authorized to charge any fee deficiency associated with the filing of this Statement to a deposit account, as authorized in the Transmittal accompanying this Statement.

Respectfully submitted,

5/6/05
Date

S. Mrksich
K. Shannon Mrksich (Reg. No.36,675)



| | | |
|--|---------------------------------|------------------------|
| FORM PTO-1449 | SERIAL NO. 10/762,028 | CASE NO. 7814/93 |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (use several sheets if necessary) | FILING DATE January 20, 2004 | GROUP ART UNIT 1625 |
| APPLICANT(S): Hisashi Yamamoto et al. | | |

| REFERENCE DESIGNATION | | U.S. PATENT DOCUMENTS | | | | |
|-----------------------|----|--|-----------|------|--------------------|----------------|
| EXAMINER INITIAL | | DOCUMENT NUMBER <small>Number-Kind Code (if known)</small> | DATE | NAME | CLASS/ SUBCLASS | FILING DATE |
| | C1 | 5,602,267 | 2/11/1997 | Zhao | | |

| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|--|--|------|---------|--------------------|--------------------------|
| EXAMINER INITIAL | | DOCUMENT NUMBER <small>Number-Kind Code (if known)</small> | DATE | COUNTRY | CLASS/ SUBCLASS | TRANSLATION YES OR NO |
| | | | | | | |

| EXAMINER INITIAL | OTHER ART – NON PATENT LITERATURE DOCUMENTS | |
|---------------------|---|--|
| | <small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.</small> | |
| | C2 | Waldemar, A., et al., "Control of Enantioselectivity through a Hydrogen-bonded template in the vanadium(V)-catalyzed epoxidation of allylic alcohols by optically active hydroperoxides", Tetrahedron: Asymmetry, 14(10), pp. 1355-1361. |
| | C3 | International Search report dated April 8, 2005. |
| | C4 | Written Opinion for PCT/US2005/000306 dated April 8, 2005. |

| | |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.